

For Six Month Period Ending JUN 30 2002
(Insert date)

I - REGISTRANT

1. (a) Name of Registrant R. IAN BUTTERFIELD
GAVIN T. CARTER (b) Registration No. 5398
(c) Business Address(es) of Registrant
1010 PENNSYLVANIA AVE., S.E.
WASHINGTON D.C. 20003

2. Has there been a change in the information previously furnished in connection with the following:

- (a) If an individual:
- | | | |
|-----------------------|------------------------------|--|
| (1) Residence address | Yes <input type="checkbox"/> | No <input checked="" type="checkbox"/> |
| (2) Citizenship | Yes <input type="checkbox"/> | No <input checked="" type="checkbox"/> |
| (3) Occupation | Yes <input type="checkbox"/> | No <input checked="" type="checkbox"/> |
- (b) If an organization:
- | | | |
|--------------------------|------------------------------|--|
| (1) Name | Yes <input type="checkbox"/> | No <input checked="" type="checkbox"/> |
| (2) Ownership or control | Yes <input type="checkbox"/> | No <input checked="" type="checkbox"/> |
| (3) Branch offices | Yes <input type="checkbox"/> | No <input checked="" type="checkbox"/> |
- (c) Explain fully all changes, if any, indicated in items (a) and (b) above.

IF THE REGISTRANT IS AN INDIVIDUAL, OMIT RESPONSE TO ITEMS 3, 4, AND 5(a).

3. If you have previously filed Exhibit C¹, state whether any changes therein have occurred during this 6 month reporting period.

Yes ☐ No ☒

If yes, have you filed an amendment to the Exhibit C? Yes ☐ No ☐

If no, please attach the required amendment.

¹ The Exhibit C, for which no printed form is provided, consists of a true copy of the charter, articles of incorporation, association, and by laws of a registrant that is an organization. (a waiver of the requirement to file an Exhibit C may be obtained for good cause upon written application to the Assistant Attorney General, Criminal Division, Internal Security Section, U.S. Department of Justice, Washington, D.C. 20530.)

4. (a) Have any persons ceased acting as partners, officers, directors or similar officials of the registrant during this 6 month reporting period? Yes ☐ No ☒

If yes, furnish the following information:

Name	Position	Date Connection Ended
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- (b) Have any persons become partners, officers, directors or similar officials during this 6 month reporting period? Yes ☐ No ☒

If yes, furnish the following information:

Name	Residence Address	Citizenship	Position	Date Assumed
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5. (a) Has any person named in item 4(b) rendered services directly in furtherance of the interests of any foreign principal? Yes ☐ No ☒

If yes, identify each such person and describe his service.

- (b) Have any employee or individuals, who have filed a short form registration statement, terminated their employment or connection with the registrant during this 6 month reporting period? Yes ☐ No ☒

If yes, furnish the following information:

Name	Position or connection	Date terminated
------	------------------------	-----------------

- (c) During this six month reporting period, has the registrant hired as employees or in any other capacity, any persons who rendered or will render services to the registrant directly in furtherance of the interests of any foreign principal(s) in other than a clerical or secretarial, or in a related or similar capacity? Yes ☐ No ☒

If yes, furnish the following information:

Name	Residence Address	Citizenship	Position	Date Assumed
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6. Have short form registration statements been filed by all of the persons named in Items 5(a) and 5(c) of the supplemental statement? Yes ☐ No ☐

If no, list names of persons who have not filed the required statement.

N/A

II - FOREIGN PRINCIPAL

7. Has your connection with any foreign principal ended during this 6 month reporting period?

Yes ☐No ☒

If yes, furnish the following information:

Name of foreign principal

Date of termination

8. Have you acquired any new foreign principal² during this 6 month reporting period?

Yes ☐No ☒

If yes, furnish following information:

Name and address of foreign principal

Date acquired

9. In addition to those named in Items 7 and 8, if any, list foreign principals² whom you continued to represent during the 6 month reporting period.

INSTITUTE OF CETACEAN RESEARCH
TOKYO SUISAN BLDG.
4-18, TOYOMI-CHO
CHUO-KU
TOKYO
JAPAN

EMBASSY OF JAPAN
2520 MASSACHUSETTS AVE, NW
WASHINGTON D.C.
20008-2869

10. **EXHIBITS A AND B**

(a) Have you filed for each of the newly acquired foreign principals in Item 8 the following:

Exhibit A³Yes ☐No ☐Exhibit B⁴Yes ☐No ☐

N/A

If no, please attach the required exhibit.

(b) Have there been any changes in the Exhibits A and B previously filed for any foreign principal whom you represented during this six month period?

Yes ☐No ☐

If yes, have you filed an amendment to these exhibits?

Yes ☐No ☐

If no, please attach the required amendment.

² The term "foreign principal" includes, in addition to those defined in section 1(b) of the Act, an individual organization any of whose activities are directly or indirectly supervised, directed, controlled, financed, or subsidized in whole or in major part by a foreign government, foreign political party, foreign organization or foreign individual. (See Rule 100(a) (9)). A registrant who represents more than one foreign principal is required to list in the statements he files under the Act only those principals for whom he is not entitled to claim exemption under Section 3 of the Act. (See Rule 208.)

³ The Exhibit A, which is filed on form CRM-157 (Formerly OBD-67) sets forth the information required to be disclosed concerning each foreign principal.

⁴ The Exhibit B, which is filed on Form CRM-155 (Formerly OBD-65) sets forth the information concerning the agreement or understanding between the registrant and the foreign principal.

III - ACTIVITIES

11. During this 6 month reporting period, have you engaged in any activities for or rendered any services to any foreign principal named in Items 7, 8, and 9 of this statement? Yes ☒ No ☐

If yes, identify each such foreign principal and describe in full detail your activities and services:

INSTITUTE OF CETACEAN RESEARCH
EMBASSY OF JAPAN

CONTACTS WITH U.S. MEDIA REGARDING JAPAN WHALING POLICY
CONTACTS WITH U.S. CONGRESS REGARDING JAPAN WHALING POLICY
CONTACTS WITH U.S. STATE DEPARTMENT REGARDING JAPAN WHALING POLICY
PARTICIPATION IN CONVENTION

12. During this 6 month reporting period, have you on behalf of any foreign principal engaged in political activity⁵ as defined below? Yes ☒ No ☐

If yes, identify each such foreign principal and describe in full detail all such political activity, indicating, among other things, the relations, interests and policies sought to be influenced and the means employed to achieve this purpose. If the registrant arranged, sponsored or delivered speeches, lectures or radio and TV broadcasts, give details as to dates, places, of delivery, names of speakers and subject matter.

1. EMBASSY OF JAPAN
 2. INSTITUTE OF CETACEAN RESEARCH
- SEE ATTACHMENT A FOR SPECIFIC ACTIVITIES

13. In addition to the above described activities, if any, have you engaged in activity on your own behalf which benefits any or all of your foreign principals? Yes ☐ No ☒

If yes, describe fully.

⁵ The term "political activities" means any activity that the person engaging in believes will, or that the person intends to, in any way influence any agency or official of the Government of the United States or any section of the public within the United States with reference to formulating, adopting or changing the domestic or foreign policies of the United States or with reference to political or public interests, policies, or relations of a government, a foreign country or a foreign political party.

IV - FINANCIAL INFORMATION

14. (a) RECEIPTS-MONIES

During this 6 month reporting period, have you received from any foreign principal named in Items 7, 8, and 9 of this statement, or from any other source, for or in the interests of any such foreign principal, any contributions, income or money either as compensation or otherwise? Yes ☒ No ☐

If no, explain why.

If yes, set forth below in the required detail and separately for each foreign principal an account of such monies⁶

Date	From Whom	Purpose	Amount
	SEE ATTACHMENT B		
	INSTITUTE OF CETACCAN RESEARCH		45,570.61
	EMBASSY OF JAPAN		60,000.00
			105,570.61
			Total

(b) RECEIPTS - FUND RASING CAMPAIGN

During this 6 month reporting period, have you received, as part of a fund raising campaign⁷, any money on behalf of any foreign principal named in items 7, 8, and 9 of this statement? Yes ☐ No ☒

If yes, have you filed an Exhibit D to your registration? Yes ☐ No ☐

If yes, indicate the date the Exhibit D was filed. Date _____

(c) RECEIPTS-THINGS OF VALUE

During this 6 month reporting period, have you received any thing of value⁹ other than money from any foreign principal named in Items 7, 8, and 9 of this statement, or from any other source, for or in the interests of any such foreign principal? Yes ☐ No ☒

If yes, furnish the following information:

Name of foreign principal	Date received	Description of thing of value	Purpose
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6, 7 A registrant is required to file an Exhibit D if he collects or receives contributions, loans, money, or other things of value for a foreign principal, as part of a fund raising campaign. (See Rule 201(e).)

8 An Exhibit D, for which no printed form is provided, sets forth an account of money collected or received as a result of a fund raising campaign and transmitted for a foreign principal.

9 Things of value include but are not limited to gifts, interest free loans, expense free travel, favored stock purchases, exclusive rights, favored treatment over competitors, "kickbacks," and the like.

15. (a) **DISBURSEMENTS-MONIES**

During this 6 month reporting period, have you

(1) disbursed or expended monies in connection with activity on behalf of any foreign principal named in Items 7, 8, and 9 of this statement? Yes ☐ No ☐(2) transmitted monies to any such foreign principal? Yes ☐ No ☐

If no, explain in full detail why there were no disbursements made on behalf of any foreign principal.

If yes, set forth below in the required detail and separately for each foreign principal an account of such monies, including monies transmitted, if any, to each foreign principal.

Date	To Whom	Purpose	Amount
4/30/02	VIDEO MONITORING SERVICES	VIDEOS	\$136.41
6/31/02	WASHINGTON HOTEL, SHIMONOSEKI	ACCOMMODATION	\$313.66
R. IAN BUTTERFIELD TRAVEL TO SHIMONOSEKI, JAPAN, IWC ANNUAL MEETING 18-24 MAY '02	MEALS		\$140.16
	TRANSPORTATION		\$35.39
	PHONE		\$40.21
	PARKING		\$55.00
	VIDEO MONITORING SERVICES		\$200.39

ALL ABOVE DISBURSEMENTS
MADE ON BEHALF OF
INSTITUTE OF CETACEAN RESEARCH

\$921.22
Total

(b) DISBURSEMENTS-THINGS OF VALUE

During this 6 month reporting period, have you disposed of anything of value¹⁰ other than money in furtherance of or in connection with activities on behalf of any foreign principal named in Items 7, 8, and 9 of this statement?

Yes ☐No ☒

If yes, furnish the following information:

Date disposed	Name of person to whom given	On behalf of what foreign principal	Description of thing of value	Purpose
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(c) DISBURSEMENTS-POLITICAL CONTRIBUTIONS

During this 6 month reporting period, have you from your own funds and on your own behalf either directly or through any other person, made any contributions of money or other things of value¹¹ in connection with an election to any political office, or in connection with any primary election, convention, or caucus held to select candidates for political office?

Yes ☐No ☒

If yes, furnish the following information:

Date	Amount or thing of value	Name of political organization	Name of candidate
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10, 11. Things of value include but are not limited to gifts, interest free loans, expense free travel, favored stock purchases, exclusive rights, favored treatment over competitors, "kickbacks" and the like.

V - INFORMATIONAL MATERIALS

16. During this 6 month reporting period, did you prepare, disseminate or cause to be disseminated any informational materials¹²?
 Yes ☐ No ☒

IF YES, RESPOND TO THE REMAINING ITEMS IN SECTION V.

17. Identify each such foreign principal.

18. During this 6 month reporting period, has any foreign principal established a budget or allocated a specified sum of money to finance your activities in preparing or disseminating informational materials? Yes ☐ No ☒

If yes, identify each such foreign principal, specify amount, and indicate for what period of time.

19. During this 6 month reporting period, did your activities in preparing, disseminating or causing the dissemination of informational materials include the use of any of the following: *NO*

- | | | | |
|---|---|--|---|
| <input type="checkbox"/> Radio or TV broadcasts | <input type="checkbox"/> Magazine or newspaper articles | <input type="checkbox"/> Motion picture films | <input type="checkbox"/> Letters or telegrams |
| <input type="checkbox"/> Advertising campaigns | <input type="checkbox"/> Press releases | <input type="checkbox"/> Pamphlets or other publications | <input type="checkbox"/> Lectures or speeches |
| <input type="checkbox"/> Other (specify) _____ | | | |

20. During this 6 month reporting period, did you disseminate or cause to be disseminated informational materials among any of the following groups: *NO*

- | | | |
|--|---|---|
| <input type="checkbox"/> Public Officials | <input type="checkbox"/> Newspapers | <input type="checkbox"/> Libraries |
| <input type="checkbox"/> Legislators | <input type="checkbox"/> Editors | <input type="checkbox"/> Educational institutions |
| <input type="checkbox"/> Government agencies | <input type="checkbox"/> Civic groups or associations | <input type="checkbox"/> Nationality groups |
| <input type="checkbox"/> Other (specify) _____ | | |

21. What language was used in the informational materials:

☐ English *N/A* ☐ Other (specify) _____

22. Did you file with the Registration Unit, U.S. Department of Justice a copy of each item of such informational materials disseminated or caused to be disseminated during this 6 month reporting period? *N/A* Yes ☐ No ☐

23. Did you label each item of such informational materials with the statement required by Section 4(b) of the Act? Yes ☐ No ☐ *N/A*

¹² The term informational materials includes any oral, visual, graphic, written, or pictorial information or matter of any kind, including that published by means of advertising, books, periodicals, newspapers, lectures, broadcasts, motion pictures, or any means or instrumentality of interstate or foreign commerce or otherwise. Informational materials disseminated by an agent of a foreign principal as part of an activity in itself exempt from registration, or an activity which by itself would not require registration, need not be filed pursuant to Section 4(b) of the Act.

VI--EXECUTION

In accordance with 28 U.S.C. § 1746, the undersigned swear(s) or affirm(s) under penalty of perjury that he/she has (they have) read the information set forth in this registration statement and the attached exhibits and that he/she is (they are) familiar with the contents thereof and that such contents are in their entirety true and accurate to the best of his/her (their) knowledge and belief, except that the undersigned make(s) no representation as to truth or accuracy of the information contained in the attached Short Form Registration Statement(s), if any, insofar as such information is not within his/her (their) personal knowledge.

(Date of signature)

25 JULY '0225 JULY '02(Type or print name under each signature¹³)R. Ian ButterfieldR. IAN BUTTERFIELDGavin J. CarterGAVIN J. CARTER

¹³ This statement shall be signed by the individual agent, if the registrant is an individual, or by a majority of those partners, officers, directors or persons performing similar functions, if the registrant is an organization, except that the organization can, by power of attorney, authorize one or more individuals to execute this statement on its behalf.

**UNITED STATES DEPARTMENT OF JUSTICE
FARA REGISTRATION UNIT
CRIMINAL DIVISION
WASHINGTON, D.C. 20530**

NOTICE

Please answer the following questions and return this sheet in triplicate with your Supplemental Statement:

1. Is your answer to Item 16 of Section V (Informational Materials - page 8 of Form CRM-154, formerly Form OBD-64-Supplemental Statement):

YES _____ or NO ✓

(If your answer to question 1 is "yes" do not answer question 2 of this form.)

2. Do you disseminate any material in connection with your registration:

YES _____ or NO ✓

(If your answer to question 2 is "yes" please forward for our review copies of all material including: films, film catalogs, posters, brochures, press releases, etc. which you have disseminated during the past six months.)

R. Ian Butterfield
Signature

25 July '02
Date

R. IAN BUTTERFIELD

Please type or print name of
signatory on the line above

PARTNER
Title

2002 JUL -5 PM 12:00

THIS FORM IS TO BE AN OFFICIAL ATTACHMENT TO YOUR CURRENT
SUPPLEMENTAL STATEMENT - PLEASE EXECUTE IN TRIPPLICATE

SHORT-FORM REGISTRATION INFORMATION SHEET

SECTION A

The Department records list active short-form registration statements for the following persons of your organization filed on the date indicated by each name. If a person is not still functioning in the same capacity directly on behalf of the foreign principal, please show the date of termination.

Short Form List For Registrant: Butterfield Carter and Associates

Last Name	First Name and Other Names	Registration Date	Termination Date	Role
Butterfield	R. Ian	12/1/00		
Carter	Gavin J.	12/1/00		

2002 MAY -5 PM 12:00
FBI - NEW YORK

SECTION B

In addition to those persons listed in Section A, list below all current employees rendering services directly on behalf of the foreign principal(s) who have not as yet filed short-form registration statements. (Do not list clerks, secretaries, typists or employees in a similar or related capacity. If there is some question as to whether an employee has an obligation to file a short-form, please address a letter to us describing the activities and connection with the foreign principal.)

Name	Function	Date Hired

Signature: _____

Date: _____

Title: _____

2017-05-18 16:03

EXHIBIT A

1. Name and address of registrant

Butterfield Carter and Associates

2. Registration No.

5398

3. Name of foreign principal

Embassy of Japan

4. Principal address of foreign principal

2520 Massachusetts Ave., N.W.
Washington D.C. 20008

5. Principal is a foreign government

6. (a) Branch or agency represented by the registrant

Ministry of Agriculture, Forestry and Fisheries

(b) Name and title of official with whom registrant deals.

Mr. Takaaki Sakamoto
First Secretary

Date of Exhibit A

25 July 2002

Name and Title

R. Ian Butterfield, Partner

Signature

A handwritten signature in black ink, appearing to read 'R. Ian Butterfield', written over a horizontal line.

2002 JUL 25 11:16 CO

EXHIBIT A

1. Name and address of registrant

Butterfield Carter and Associates

2. Registration No.

5398

3. Name of foreign principal

Institute of Cetacean Research

4. Principal address of foreign principal

Tokyo Suisan Bldg.
4-18, Toyomi-cho, Chuo-ku
Tokyo, 104-0055
Japan

5. Indicate whether your foreign principal is one of the following

Foreign or domestic organization. Yes

Association. Yes

6. N/A

7. N/A

8. If the foreign principal is not a foreign government or a foreign political party,

a) State the nature of the business or activity of this foreign principal

Answer: scientific research of global cetacean population

b) This foreign principal is not supervised, owned, directed, controlled or financed by a foreign government, foreign political party, or other foreign principal. This foreign principal is subsidized in part by a foreign government, foreign political party, or other foreign principal.

9. Explain fully all items answered "Yes" in Item 8 (b)

ICR receives a subsidy from the Government of Japan to offset operating costs

10. If the foreign principal is an organization and is not owned or controlled by a foreign government, foreign political party or other foreign principal, state who owns and controls it.

ICR is a non-profit research organization. ICR's legal status is authorized by the Japanese Ministry of Agriculture, Forestry and Fisheries, as a foundational, judicial person.

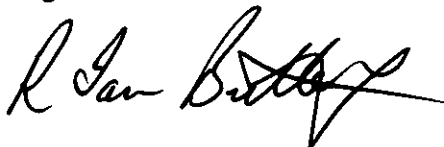
Date of Exhibit A

25 July 2002

Name and Title

R. Ian Butterfield, Partner

Signature

A handwritten signature in black ink, appearing to read "R Ian Butterfield", with a stylized flourish at the end.

Attachment A

All meetings/contacts undertaken on behalf of both Embassy of Japan and Institute of Cetacean Research, unless otherwise stated.

- 1/24/02 Jim Morhard, Senate Appropriations / telephone / US whaling policy
- 2/4/02 Hitoshi Omae, Nikkei News/ lunch meeting / Shimonoseki IWC meeting
- 2/5/02 Steve Rademacher, House International Relations/ telephone / Japanese whaling policy
- 2/5/02 Jeffrey Gibbs, Senate Foreign Relations Committee/ telephone / Japanese whaling policy
- 2/11/02 Steve Biegun, White House/ telephone / Bush – Koizumi agenda
- 2/18/02 Jeffrey Gibbs, Senate Foreign Relations/ office meeting / Japan whaling policy
- 3/12/02 Jeffrey Gibbs, Senate Foreign Relations/ office meeting with Diet Member, Japan Ministry of Fisheries, Japanese Embassy / Japan whaling policy
- 4/03/02 Andy Revkin, New York Times/ office meeting, Embassy of Japan/ Japan whaling policy
- 4/16/02 John Turner, Assistant Secretary of State / office meeting, DOS/ Japan whaling policy
- 4/20/02 Doug Struck, Washington Post / meeting at convention / U.S. & Japanese whaling policy
- 4/21/02 Jim Brooke, New York Times / meeting at convention / U.S. & Japanese whaling policy
- 5/7/02 Jeffrey Gibbs, Senate Foreign Relations / telephone / diplomatic demarche re Japan whaling policy
- 6/17/02 Bill Woolfe, Office of Senator Murkowski / telephone / Alaska Bowhead whale quota

Attachment B

Institute of Cetacean Research

DATE	AMOUNT	PURPOSE
1/31/02	\$7,500	Retainer
2/28/02	\$7,500	Retainer
3/31/02	\$7,500	Retainer
4/30/02	\$7,500	Retainer
5/31/02	\$7,500	Retainer
6/31/02	\$8,070.61	Retainer (\$7,500) Accommodation and
Internal Japan travel costs for Ian Butterfield, 18 –24 May 2002		\$570.61

Embassy of Japan

3/31/02	\$40,000 (contract started Dec. 1 2001, payment due 3/31/02)	4 month retainer
6/30/02	\$30,000	3 month retainer